

COPY



OFFICE OF HOMELAND SECURITY

July 15, 2008

Ray Edey, Captain
City of Glendale
421 Oak Street
Glendale, Ca. 91204-1298

Monitoring Report # M08-027

Dear Captain Edey:

On July 11, 2008 the Office of Homeland Security (OHS), Monitoring and Audits Unit, Program Monitor, Jennifer Kolbe conducted a monitoring review for the purpose of monitoring homeland security grants. I wish to thank you and your staff for the courtesy extended to Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grants:

GRANT	PROGRAM NAME	PERIOD MONITORED
2003-0035	FY 03 Part II State Homeland Security Grant Program	05/01/03 to 07/11/08
2003-0023	FY03 Urban Security Initiative Part II	04/01/03 to 07/11/08
2004-0045	FY04 Homeland Security Grant Program (HSGP)	12/01/03 to 07/11/08

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your OHS Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete. **If any findings are identified in the monitoring report, you will have 120 days from the last day of the monitoring review to submit a Correction Action Plan to the Program Monitor.**

The corrective action process provides two options:

Option One – The subgrantee self certifies by the submission of an Action Plan that details the corrective steps implemented, and that any finding(s) noted in the monitoring report are resolved.

Option Two – Submission of an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff (i.e. technical assistance).

When corresponding to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

Governor's Office of Homeland Security
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Ms. Kolbe at (916) 324-6118.

Sincerely,



Brendan Murphy
Deputy Director
Office of Homeland Security

Attachment

cc: Leo LaMattina, Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

TO: Governor's Office of Homeland Security	Grant Numbers: 2003-0035 2003-0023 2004-0045
Grants Management Section Monitoring & Audits Unit State Capitol Sacramento, CA 95814	Monitoring Control Number: # M08-027
Attention: Ms. Kolbe, Program Monitor	Response Due: 08/15/2008

FROM: Subgrantee: City of Glendale

Option One

☐

I have reviewed and acknowledge receipt of the above referenced monitoring report.

Authorized Signature

Title

Date

Typed Name

Title

Telephone Number



CALIFORNIA GOVERNOR'S OFFICE OF HOMELAND SECURITY MONITORING NARRATIVE REPORT

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2003-0035-037-30000	FY03 Part II State Homeland Security Grant Program (SHSGP)	05/01/03 to 06/01/08	\$40,563
2003-0023-037-30000	FY03 Urban Security Initiative Part II	07/01/03 to 06/01/08	\$105,589
2004-0045-037-30000	FY04 Homeland Security Grant Program (HSGP)	12/01/03 to 06/01/08	\$245,787

City of Glendale

AUTHORIZED AGENT:	Ray Edey	ADDRESS:	421 Oak Street, Glendale, Ca. 91204-1298
CONTACT EMAIL:	redey@ci.glendale.ca.us		
CONTACT PHONE NUMBER:	(818)548-2121		
ALTERNATE POINT of CONTACT:	Julie Schaeffer		
CONTACT EMAIL:	jschaeffer@ci.glendale.ca.us		
PROGRAM REPRESENTATIVE:	Leo LaMattina	E-mail:	leo.lamattina@ohs.ca.gov
PHONE NUMBER:	(916)324-6347		
PROGRAM MONITOR:	Jennifer Kolbe	E-mail:	jennifer.kolbe@ohs.ca.gov
PHONE NUMBER:	(916)324-6118	DATE OF MONITORING:	June 3, 2008

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Ray Edey	Police Captain	Investigative Services Division
Michael Matlock	Public Safety Business Administrator	City of Glendale
Julie Schaeffer	Administrative Analyst	City of Glendale - Fire
Zinda Jimenez	Senior Accountant	City of Glendale

Prepared by:

Jennifer Kolbe, Program Monitor, OHS Administration Division, Monitoring & Audits Unit

Date

7/16/08

Approved by:

Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring & Audits Unit

Date

7/17/08

Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2				2	2
Grant Assurances	1	1				1
Grant Approval Notification	2	1			1	2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1				1	1
B. Programmatic Review						
Program Goals and Objectives	2				2	2
Exercise	2				2	2
Training	1				1	1
Planning	1				1	1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1				1	1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1				1	1
D. Fiscal: Personnel Services						
Management and Administrative Services	3				3	3
Overtime/Back Fill	3				3	3
E. Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3	3				3
Property Management & Records Keeping	2	2				2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
Total	49	24	0	0	25	49

Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Not Required.

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (4 items); Not applicable for Subgrantee (4 items).
1. **Review of Audit Report:** Not applicable for Subgrantee (2 items).
 2. **Grant Assurances:** Subgrantee in compliance (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (1 item); Not applicable for Subgrantee (1 item).
 - a. Maintain required records Subgrantee in compliance (1 item).
 - b. Conditions Rectified: Not applicable for Subgrantee (1 item).
 4. **Performance Reports:** Subgrantee in compliance (1 item).
 5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
 6. **Publication of Materials:** Not applicable for Subgrantee (1 item).
- B. Programmatic Review:** Not applicable for Subgrantee (6 items).
- C. Financial Management:** Subgrantee in compliance (10 items); Not applicable for Subgrantee. (4 items).
1. **Accounting System:** Subgrantee in compliance (8 items).
 - a. Financial Reporting: Subgrantee in compliance (1 item).
 - b. Source Documentation: Subgrantee in compliance (1 item).
 - c. Double Billing: Subgrantee in compliance (1 item).
 - d. Supplanting: Subgrantee in compliance (1 item).

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- e. Accounting Basis: Subgrantee in compliance (1 item).
- f. Commingling of Funds: Subgrantee in compliance (1 item).
- g. General Ledger Accounting Structure: Subgrantee in compliance (1 item).
- h. Costs Directly Related: Subgrantee in compliance (1 item).
- 2. **Distribution of Funds**: Not applicable for Subgrantee (1 item).
- 3. **Advance of Funds**: Not applicable for Subgrantee (2 items).
- 4. **Change Request/Modifications**: Subgrantee in compliance (2 items).
- 5. **Records Maintenance**: Not applicable for Subgrantee (1 item).
- D. Fiscal: Personnel Services**: Not applicable for Subgrantee (6 items).
- E. Fiscal: Procurement**: Subgrantee in compliance (5 items).
 - 1. **Responsibility**: Subgrantee in compliance (1 item).
 - 2. **Methods of Procurement**: Subgrantee in compliance (4 items).
 - a. Small Purchases: Subgrantee in compliance (1 item).
 - b. Formal Advertisement Invitation for Bid (IFB): Subgrantee in compliance (1 item).
 - c. Competitive Proposals: Subgrantee in compliance (1 item).
 - d. Noncompetitive Proposals: Subgrantee in compliance (1 item).
- F. Fiscal: Equipment & Property Management**: Subgrantee in compliance (5 items).
 - 1. **Equipment Purchases**: Subgrantee in compliance (3 items).
 - a. Allowable and Applicable Equipment: Subgrantee in compliance (1 item).
 - b. Prior Approval and Acquisition: Subgrantee in compliance (1 item).

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- c. Proficiency Training: Subgrantee in compliance (1 item).
- 2. **Property and Records keeping**: Subgrantee in compliance (2 items).
 - a. Inventory Control: Subgrantee in compliance (1 item).
 - b. Property Management: Subgrantee in compliance (1 item).
- G. **Subgrantee Monitoring & Oversight**: Not applicable for Subgrantee (5 items).